

Electronic Acknowledgement Receipt

EFS ID:	4421860
Application Number:	10627626
International Application Number:	
Confirmation Number:	4309
Title of Invention:	Method and apparatus for enabling individual or smaller investors or others to create and manage a portfolio of securities or other assets or liabilities on a cost effective basis
First Named Inventor/Applicant Name:	Steven M.H. Wallman
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Filer:	Shawn W. Odowd
Filer Authorized By:	
Attorney Docket Number:	10392/460043
Receipt Date:	09-DEC-2008
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Time Stamp:	16:16:48
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	\$630

RAM confirmation Number		1536			
Deposit Account		110600			
Authorized User					
File Listing:					
Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1		ResponseOA.pdf	110791	yes	6
			1b1c3e4b722473d1f11c18c6a12a662591a0caac		
	Multipart Description/PDF files in .zip description				
	Document Description		Start		End
	Amendment/Req. Reconsideration-After Non-Final Reject		1		1
	Claims		2		2
	Applicant Arguments/Remarks Made in an Amendment		3		6
Warnings:					
Information:					
2	Miscellaneous Incoming Letter	InterviewSummary.pdf	69681	no	2
			14f6bc05886058899f21802bead35d266753c3d8		
Warnings:					
Information:					
3	Terminal Disclaimer Filed	TerminalDisclaimer.pdf	88228	no	1
			8c2a83f266a83775748c7e67e80c4870708c79ff		
Warnings:					
Information:					
4	Fee Worksheet (PTO-06)	fee-info.pdf	32053	no	2
			eddf1be0461f6ed7c74e1d33b1ac18c393c00e5a		
Warnings:					
Information:					
Total Files Size (in bytes):			300753		

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New Applications Under 35 U.S.C. 111

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

National Stage of an International Application under 35 U.S.C. 371

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

New International Application Filed with the USPTO as a Receiving Office

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.